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CONCERNING A FILING UNDER 35 U.S.C. 371

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U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

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INTERNATIONAL APPLICATION NO.  
PCT/GB99/02138INTERNATIONAL FILING DATE  
05 July 1999 (05.07.99)PRIORITY DATE CLAIMED  
03 July 1998 (03.07.98)

## TITLE OF INVENTION

TRANSCODERS FOR FIXED AND VARIABLE RATE DATA STREAMS

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Robert

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau. Copy attached for ready reference.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). and Power of Attorney.
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11. to 16. below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98., PTO-1449 and three references.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment. Please calculate filing fees after entry of this Preliminary Amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: Express Mail Certificate  
Check for \$3,062.00  
Return receipt postcard

U.S. APPLICATION NO. (if known, see 37 CFR 1.51) <div style="font-size: 1.5em; font-weight: bold;">09/720849</div>		INTERNATIONAL APPLICATION NO. PCT/GB99/02138		ATTORNEY'S DOCKET NUMBER DOL06504 US	
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17. <input checked="" type="checkbox"/> The following fees are submitted: <b>BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):</b> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... \$970.00 XX International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... <del>\$860.00</del> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$690.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$670.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$96.00 <div style="text-align: right; font-weight: bold;">ENTER APPROPRIATE BASIC FEE AMOUNT =</div>	<b>CALCULATIONS PTO USE ONLY</b>		
	\$ 860.00		
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).			
\$ .00			
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	74 - 20 =	54	X \$18.00
Independent claims	15 - 3 =	12	X \$75.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$270.00
TOTAL OF ABOVE CALCULATIONS =			\$3,062.00
Reduction of 1/2 for filing by small entity, if applicable. A Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28).			\$ .00
SUBTOTAL =			\$3,062.00
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).			\$ .00
TOTAL NATIONAL FEE =			\$3,062.00
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property			\$ .00
TOTAL FEES ENCLOSED =			\$3,062.00
			Amount to be:
			refunded
			charged

a. ☒ A check in the amount of \$ 3,062.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
 A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 07-0137. A duplicate copy of this sheet is enclosed.

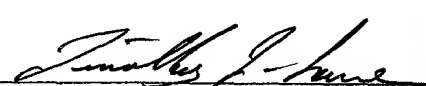
**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

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 REGISTRATION NUMBER

29 DEC 2000

introducing control data into the fixed rate stream, the control data representing a peak data rate of a variable rate stream that would be generated by applying a specified code to the fixed rate stream.

24. The data processing method of claim 23, wherein the fixed rate stream comprises a padding of the variable rate stream, and wherein the specified code removes all padding from the fixed rate stream to recover the variable rate stream.

25. A data processing method comprising:

producing an encoded variable rate stream; and

introducing control data into the encoded variable rate stream, the control data representing a minimum data rate at which the encoded variable rate stream may be packetised for successful decoding by at least one decoder of known characteristics.

26. The data processing method of claim 22 or 25, wherein the encoded variable rate stream is packetised.

27. The data processing method of claim 25, wherein the encoded variable rate stream is packetised, and the control data represents a minimum data rate at which the encoded variable rate stream may be repacketised for successful decoding by said at least one decoder.

28. The data processing method of claim 23, wherein the fixed rate stream is packetised.

29. The data processing method of claim 22 or 25, wherein the encoded variable rate stream comprises losslessly compressed digital audio data.

30. The data processing method of claim 23, wherein the fixed rate stream comprises losslessly compressed digital audio data.

31. The data processing method of claim 22, 23, or 25, further comprising processing the control data to determine an adequate bandwidth for transmission of the encoded variable rate stream, and transmitting the encoded variable rate stream over an interface having at least the adequate bandwidth.

32. The data processing method of claim 31 wherein the interface operates at a fixed data rate.

33. The data processing method of claim 31, wherein the interface is for communication between a DVD player and external equipment.

34. A data processing method comprising:  
receiving a variable rate stream that includes control data representing a peak data rate of the variable rate stream;  
determining the peak data rate from the control data; and  
converting the variable rate stream to a fixed rate stream having a fixed data rate set in response to the determined peak data rate.

35. The data processing method of claim 34, wherein the fixed data rate is at least equal to the peak data rate of the variable rate stream.

36. The data processing method of claim 34, wherein the fixed data rate is higher than a specified data rate at which a storage medium may be authored, and further comprising transcoding the fixed rate stream to a second fixed rate not exceeding the specified data rate.

37. The data processing method of claim 34, wherein converting the variable rate stream comprises padding the variable rate stream.

38. The data processing method of claim 34, wherein the variable rate stream is packetised, and wherein converting the variable rate stream comprises repacketising the variable rate stream to form the fixed rate stream.

39. The data processing method of claim 34, wherein the fixed rate stream is serialised, and further comprising reserialising the fixed rate stream to change its data rate.

40. The data processing method of claim 34, wherein the variable rate stream comprises an encoding of an input stream, and further comprising decoding the fixed rate stream.

41. The data processing method of claim 34, wherein the variable rate stream comprises an encoding of an input stream, and further comprising decoding the fixed rate stream to substantially recover the input stream.

42. The data processing method of claim 34, wherein the variable rate stream comprises a lossless encoding of an input stream, and further comprising losslessly decoding the fixed rate stream to recover the input stream.

43. The data processing method of claim 34, wherein the variable rate stream comprises a lossless encoding of digital audio data, and further comprising losslessly decoding the fixed rate stream to recover the digital audio data.

44. A data processing method comprising:

receiving a fixed rate stream generated by adding padding to a variable rate stream,  
which fixed rate stream includes control data that represents a total amount of  
data in the variable rate stream;

supplying the fixed rate stream to a transcoder which removes the padding from the  
fixed rate stream to recover the variable rate stream;

writing the recovered variable rate stream to a storage medium; and

determining from the control data a total duration of the written stream.

45. A device for decoding variable rate data organised as a stream of packets, each packing including a corresponding decoder time stamp, the device comprising:

a feed buffer that receives the stream of packets to mitigate any interruption in the stream of packets;

a FIFO buffer having an input coupled to the feed buffer for receiving the stored data, and having an output; and

a decoder having an input coupled to the output of the FIFO buffer.

46. The device of claim 45, wherein the feed buffer stores the stream until the corresponding decoder time stamp for each packet is identified.

47. The device of claim 45, wherein the variable rate data comprises losslessly compressed digital audio data.

48. The device of claim 45, wherein the variable rate data comprises digital data that has been encoded by an MLP encoder.

49. The device of claim 45, wherein the decoder is an MLP decoder.

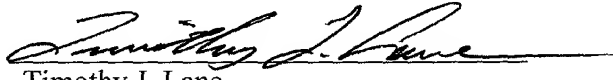
50. A decoder that decodes the encoded variable rate steam that includes said control data as provided by claim 22 of 25.

REMARKS

Entry of the preliminary amendment and consideration of the patent application are kindly requested. The Examiner is invited to contact the below-signed attorney for Applicants should the Examiner have any question or comments regarding this matter.

Respectfully submitted,

Peter Graham CRAVEN, Malcolm James LAW,  
and John Robert STUART

DATE: December 29, 2000 BY: 

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**TRANSCODERS FOR FIXED AND VARIABLE RATE DATA STREAMS****Field of Invention**

5 The invention relates to the transmission of a recording through mastering, authoring and delivery to the consumer, where some links in the chain require transmission at a fixed data-rate, and others preferably require a variable data-rate in order to reduce the total amount of data.

10 **Background to the Invention**

It is known that an audio signal may be subject to a compression process (for example, lossless compression) which produces a compressed stream of varying data-rate.

15 In an application such as DVD, two parameters are of importance: the peak data-rate; and the total amount of data. On the DVD audio disc as currently proposed, the peak data-rate must not exceed 9.6Mbits/s as the disc cannot deliver data faster than this. On 6-channel audio recordings made to 24-bit precision and with 96kHz sampling frequency, this limit is a significant constraint, and P.G. Craven & M.A. Gerzon, 'Lossless Coding for Audio Discs', *J. Audio Eng. Soc.*, vol. 44 no. 9 pp. 706-720 (September 1996), P.G. Craven, M.J. Law & J.R. Stuart, 'Lossless Compression using IIR Prediction Filters', *J. Audio Eng. Soc.* (Abstracts), vol. 45 no. 5 p. 404 (22<sup>nd</sup> March 1997) (Preprint 4415) and GB 2323754 describe methods directed towards minimising the data-rate during peak passages. In addition the total amount of data on the disc is restricted to 4.7Gbytes, so it is advantageous to reduce the data-rate below 9.6Mbits/s when possible so as to maximise the playing time.

25

Thus, the stream as recorded on the disc needs to be variable-rate in order to maximise the playing time.

30 On the other hand, many protocols for the serial transmission of data assume a fixed data-rate. Moreover, a fixed-rate stream can have a much simpler interface to a subsequent processing block. Typically the data is handled by a transport layer which is ignorant of its internal structure, and then passed to a decoder or other processing block. In a software

implementation, a decoder will typically be called in order to decode a block of audio samples, for example 80 samples. If the input to the decoder is a fixed rate stream, the transport layer and the software 'harness' that organises the data-flow can know the data rate and thus provide to the decoder the correct number of bits of input data to allow the decoder to produce a block of decoded samples. However, in the variable rate case, the required number of bits is not easily known to the harness. One solution is for the decoder to request a dynamically varying number of samples from the harness: this requires two-way communication. Alternatively, if the encoder knows the size and alignment of the blocks that the decoder will decode, then the encoder can insert information in the stream's transport layer that will allow the harness to pass the required number of bits to the decoder before the decoder starts to decode the block. This is the MPEG model.

Two-way communication between the decoder and the transport layer is extremely inconvenient if the decoder is separated from the hardware that controls the rate of replay from the disc and associated buffering, (for example, it is a separate sub-unit of a player, or it is a separate item external to a player). The MPEG model has the advantage that it avoids two-way communication, but it introduces considerable complications in other respects and constrains the way in which decoders operate. Neither of the variable-rate solution is without its problems.

In general, a compressed stream will not be a homogenous stream of bits, but will be divided internally into units representing a given number of audio samples: optimally 1000 to 2000 audio samples. We will refer to these units as packets: the IEC 958 transport protocol uses the term 'burst', and compression systems such as AC-3 or MPEG use terms such as 'frame' or 'sync frame'. The packet will start with a 'packet header', which can include the data-rate (or the number of bits in the packet, which is equivalent if the number of samples represented by the packet is known). It might be thought that, given this information, the transport layer will know how many bits to send to the player at each stage, so that the need for two-way communication does not arise. However, it is in general inconvenient to require the decoder to decode a complete packet of 1000 to 2000 samples on each call, and if the decoder decodes fewer samples than this, the question of how much data it needs for each call arises once again. (The MPEG model avoids this problem by requiring the decoder to

decode a complete packet, or "access unit", and the packets length may then be reduced to the order of 100 samples. The shorter packets do however incur higher packet overheads).

It is well understood that a variable-rate stream can be converted into a fixed-rate stream having a rate equal to the peak rate of the variable-rate stream, simply by stuffing with zeroes (or other fill-in data) during periods of less than the peak data rate. Similarly the fixed-rate stream can be converted back to a variable-rate stream by removing the zeroes or padding. Assuming (as is normal) that all the zeroes (or padding) are removed, there is an unique variable-rate stream "corresponding" to the fixed rate stream. In the reverse direction, the amount of stuffing that can be added is arbitrary, so there are many fixed-rate streams "corresponding" to a variable-rate stream, but none can have a data-rate lower than that of the peak data-rate of the variable-rate stream.

In GB 2323754 however, a method is described whereby the data rate of the fixed rate stream can be somewhat less than the peak rate of a variable rate stream from which it was derived. This is achieved by "repacketising", making use of the existence of a FIFO buffer in the decoder so that the decoder core can be supplied with data at a higher rate than that from the input stream, for short periods. The amount by which the data rate is less than the peak of the variable rate stream depends on the size of the FIFO buffer and the nature of the signal.

### Summary of the Invention

According to a first aspect of the invention, there is provided an encoder for producing an encoded variable rate packetised stream, including means for introducing into the stream control data representing the peak data rate of the encoded stream.

This peak rate data can be used to control subsequent processing of the stream, for example conversion to a fixed rate. The invention also provides an encoded variable rate packetised stream including control data representing the peak data rate of the stream.

According to a second aspect of the invention, there is provided an encoder for producing an encoded fixed rate packetised stream, including means for introducing into the stream

control data representing the peak data rate of the corresponding variable rate stream. The second aspect also provides an encoded fixed rate packetised stream including control data representing the peak data rate of the corresponding variable rate stream.

5 The first fixed rate stream can be converted to a second fixed rate stream of lower rate (not less than the peak data rate of the variable-rate stream corresponding to the first fixed-rate stream), for example by removing all stuffing to obtain a variable rate stream, then re-inserting a smaller amount of stuffing.

10 According to a third aspect of the invention, there is provided an encoder for producing an encoded packetised stream, including means for introducing into the stream control data representing the minimum data rate to which the stream could be repacketised for successful decoding by each of one or more decoders of known characteristics. The third aspect also  
15 provides an encoded packetised stream including control data representing the minimum data rate to which the stream could be repacketised for successful decoding by each of one or more decoders of known characteristics.

This control data in the second and third aspects can be used for negotiating bandwidth over an interface, and can be used for subsequent processing of the stream, for example by an  
20 authoring stage or a subsequent transcoding stage, without the need to scan all data in the stream to obtain this information.

An electronic device of the invention, for providing an encoded packetised output to an interface, comprises an input for providing data to an encoder of the invention, the required  
25 bandwidth over the interface being determined by control data provided on the stream by the encoder. This enables bandwidth negotiation to take place without the need to analyse the data, which would be impossible in a real time situation.

The device preferably comprises means for converting the encoded packetised output to an  
30 output having a maximum data rate depending upon the control data provided on the stream by the encoder. The new output may comprise a fixed rate packetised stream.

Preferably, the electronic device comprises a DVD player, the interface being for communication of encoded DVD data to external equipment, or to an internal decoder.

According to a fourth aspect of the invention, there is provided a mastering system comprising an encoder for producing an encoded packetised stream, the encoder including means for introducing into the stream control data representing the total amount of data in the corresponding variable rate stream. This data can be used in the authoring process to determine the total data duration.

Thus, a system for writing data to a DVD according to the invention comprises a mastering system of the fourth aspect of the invention, a transcoder for converting the encoded fixed rate stream to a variable rate packetised stream for writing to the DVD, and an authoring system including means for determining the total data duration for writing on the DVD from the control data.

According to a fifth aspect of the invention, there is provided a mastering system comprising an encoder for producing an encoded packetised stream, the encoder including means for determining the minimum data rate to which the stream could be repacketised for successful decoding by each of one or more decoders of known characteristics and for introducing into the stream control data representing this minimum data rate. This minimum data rate information can be used by an authoring system to repacketise the stream to a lower peak data rate for writing to a disc, or it can be carried on the disc for subsequent use by a player for bandwidth negotiation.

The invention also provides a system comprising a mastering system of the fifth aspect, and means for repacketising the data to form a stream having a peak data rate calculated in dependence upon the control data. This stream may comprise a fixed rate stream.

A system of the invention for providing encoded data to a DVD comprises a mastering system of the fifth aspect, and means for writing the control data onto the disc with the encoded data.

An alternative system of the invention for providing encoded data to a DVD comprises a mastering system of the fifth aspect and an authoring system, the authoring system including an encoder and means for determining the minimum data rate to which the encoded stream could be repacketised for successful decoding by each of one or more decoders of known characteristics, the authoring system writing control data to the disc representing this minimum data rate.

The encoder preferably comprises an MLP lossless encoder, and the encoded data is preferably losslessly encoded audio data.

### **Brief Description of the Drawings**

Examples of the present invention will now be described with reference to the accompanying drawings, in which:

Figure 1 shows in simplified schematic form the layout of audio data stored on a DVD;

Figure 2 shows schematically the basic elements of an MLP encoder;

Figure 3 shows schematically the basic elements of an MLP decoder;

Figure 4 shows schematically the basic elements of a simplified two channel MLP decoder;

Figure 5 shows the basic elements in an encoding and decoding system, and represents the delays involved;

Figure 6 shows a DVD player in accordance with the invention, which has the option to decode to PCM audio, or to output a fixed rate compressed stream; and,

Figure 7 shows a mastering system according to the invention, followed by an authoring system for writing data to a DVD.

### **Detailed Description of the Invention**

The processing of audio data in the DVD-Audio format is one example of a practical application of this invention, and this particular example is described below.

As represented in Figure 1, data is stored on a DVD as a series of sectors 2, for example of 2 kilobytes. Some of these sectors are allocated to audio data, and some are allocated to non-audio, for example video data. Following the MPEG model, the audio data is arranged

on the disc as a sequence of so-called Access Units 4, which each comprise an encoded version of a so-called Presentation unit. A Presentation Unit is a block of data representing approximately 1ms of audio data. For a 96KHz sampling rate, each Presentation Unit contains 80 samples of digital audio data encoded using Pulse Code Modulation (PCM). An Access Unit comprises an MLP sync followed by the data for one or more substreams. Different substreams contain data for different speaker channels.

The Presentation Units are losslessly encoded to form the Access Units, using an encoding scheme proposed by the applicant, and which is the subject of UK Patent Application No. 9907918.8, from which priority is claimed. This scheme is termed "Meridian Lossless Packing" (MLP), and gives rise to Access Units of variable length, typically around 1 Kilobyte. They may also cross the boundaries between disc sectors. This patent application is concerned with certain aspects which are being implemented in MLP. Therefore a general discussion of MLP follows, which incorporates the aspects according to this invention.

However, it should be understood that MLP is only one example of encoding scheme which can be adapted to enable this invention to be implemented.

MLP is a lossless encoding system which provides a core compression method, which reduces the data size and/or data rate of an audio object. In terms of the encoder operation, this core may be embodied in a BIN or binary disk file which can be decoded directly to recover the original audio. MLP-compressed audio is normally then given a packetising layer in a manner that suits the target transport method. Obvious transport mechanisms include computer disc, DVD disc, SPDIF interface and Firewire interface. For each of these fixed-rate or variable-rate streams can be envisaged.

For these transport systems MLP has been structured so that the core coded audio can be packetised into fixed-rate or variable-rate streams and so that a re-packetiser can convert MLP-encoded audio between the transport variants and/or between fixed-rate and variable-rate streams without requiring an intermediate decode-encode process.

The MLP bitstream is a flexible format for describing multichannel audio. To decode a large

number of channels at a high sampling rate will, however, always be a computationally demanding task. Consequently, MLP has been defined in a hierarchical manner so that decoders of lesser capability can easily extract the audio signals they require, skipping over parts that are intended for more advanced decoders.

5 The MLP bitstream carries a number of substreams containing the audio data. The number of substreams will depend on the application. For example, 2-channel decoders only need to decode substream 0; standard multichannel decoders must decode substream 0, substream 1 or both. In general, additional substreams may be provided within the MLP stream for use  
10 by more advanced decoders.

As shown in Figure 2, an MLP encoder takes the input channels and divides them (possibly after matrixing) into groups appropriate to the various classes of decoder. Each group is then processed by an encoder core to produce a substream of variable-rate compressed data.

15 For example, a normal 5•1 channel disc will have 6 channels which can be decoded by a standard decoder. These would be matrixed and divided into groups of 2 and 4 channels, the matrix being chosen so that the 2-channel signal is an acceptable mix for the 2-channel listener. The two groups are then each encoded by separate encoder cores to produce  
20 substreams 0 and 1.

The encoder passes each substream through a FIFO buffer to the Packetiser, which interleaves the substreams to produce the composite bitstream, consisting of a regular stream of the Access Units. Optionally, additional data may be added at this point, and these data  
25 can occupy the space that would otherwise be wasted.

In the generic MLP decoder of Figure 3, the Depacketiser receives the packets or access units and retrieves the substreams, which it places in one or more FIFO buffers. It may optionally recover any additional data at this point. The data in each FIFO buffer will be a  
30 pure substream with all packet-level information removed.

After buffering, each substream is passed to a decoder core. In the simple case where a



substream contains the data for a completely independent group of channels, the decoder core recovers these channels. Figure 3 illustrates the more advanced case where the matrixing in the encoder has spread information across substream boundaries. A unique feature of MLP is lossless matrixing, which allows exact recovery of the original signal, without the rounding errors expected from the standard use of matrices.

As shown in Figures 2 and 3, the encoder and decoder cores each incorporate a matrix, in fact a lossless matrix. Essentially, the matrix allows linear dependencies within the group of channels to be exploited in order to reduce the data rate.

When several substreams carry the data for a group of channels, the last substream carries the necessary matrix coefficients for the whole group. Thus, in the example shown in Figure 3, substream 1 carries the data for four channels, plus the matrix coefficients for six channels. Decoder 1 partially decodes the four channels of substream 1, then takes in two partially decoded channels from decoder 0, and all six channels participate in the final matrixing.

Substream 0 also contains matrixing information, but this is used only if substream 0 is decoded in isolation, as shown in Figure 4. It follows that the two signals that result from decoding substream 0 alone need not be identical to the first two signals that result from decoding substreams 0 and 1. This is the key to the economical decoding of a two-channel downmix. In other words, a 6-channel original signal can be recovered from a 2-channel downmix, plus four other signals.

Each encoder core produces a variable-rate substream, the data rate being greatest during peaks of high treble energy. The FIFO buffers in Figure 2 are crucial in reducing the peak data rate on the disc. These FIFO buffers in the encoder fill during passages of peak data rate from the encoder cores, and empty when the data rates from the encoder cores are lower than the maximum data rate of the transmission medium or carrier.

Correspondingly, the FIFO buffers in the decoder (Figure 3) are filled during passages of lower data rate, and empty during passages of peak rate, thus allowing peak data rates higher

than the transmission maximum to be delivered to the decoder cores.

Buffering introduces delay, and the delay is variable as the buffers fill and empty. Figure 5 highlights the delay aspects involved in the encode-decode process: it is clear that when a FIFO buffer in the encoder fills, the corresponding FIFO buffer in the decoder must empty, so that the total delay  $D$  is constant.

On typical audio signals the data rate fluctuates substantially over a period of a few tens of milliseconds, and FIFO buffering with a total delay  $D$  of order 50–100ms generally reduces the peak data rate by about 2 bits per sample. This gives an advantage of nearly 1Mbits/s for 5 channels sampled at 96kHz.

When the transmission does not take place in real-time, as with disc recording, the total delay  $D$  in the encoding and decoding is not a relevant consideration. Operationally, the important issue is the decode latency, which directly affects the queuing time experienced by the user. This is the time between the decoder first receiving the compressed data stream and being able to produce the decoded samples. A major component of this is the buffer latency, which is simply the delay through the decoder's FIFO buffer.

The maximum buffer latency in the standard application is 75ms, but for the vast majority of the time the latency will be approximately 1ms. The filling and emptying of the decoder's FIFO buffer is under the control of the encoder, which arranges that the decoder's buffer is empty for most of the time (giving very low buffer latency), but fills just before passages that result in the highest rate of compressed data, for example one containing a cymbal crash. Thus it is only immediately prior to such a peak event that the buffer latency will be near its maximum value.

The standard decoder may be provided with 90,000 bytes of buffer memory, but a 2-channel decoder can use less than 3kbytes total. This is because each substream is separately buffered (figure 1) and buffering can be removed from a downmix substream with no impact on data rate.

Taking into account the time taken to find the various headers, the total decode latency at 96kHz is between 2 and 10ms during normal passages, with a worst case of 105 ms immediately before a peak.

- 5 The article "Lossless Coding for Audio Discs", J.Audio Eng.Soc., vol 44 no. 9 pp706-720 (September 1996) and PCT/GB/96/01164 contain discussions of some of the principles used in MLP. These documents are incorporated herein as reference material.

10 Essentially, the encoder and decoder cores utilise matrix transformations and Huffman coding and decoding.

Matrixing is used to minimise inter-channel dependency, and hence the total transmitted data rate. For example, if two channels are very similar it is more efficient to transmit one of them and the difference between the two. It is not adequate for the decoder simply to multiply by the inverse of the encoder's matrix, as the rounding errors involved in the matrix multiplications will result in lossy reconstruction of the original. This problem is overcome using lossless matrixing, in which the encode matrix includes carefully placed quantisers which ensure that the rounding errors are precisely known and can be cancelled using similar quantisers in the decoder. Each lossless matrix is a cascade of primitive matrices, each primitive matrix modifying just one channel.

Huffman coding is a widely used technique for saving data rate when not all possible values are equally likely. MLP uses 4 different Huffman tables, including the well known Rice code, to cater for differing signal statistics. These tables are all designed to scale with signal level and are simple to decode algorithmically (not using tables), though it will often be more efficient to use tables in software decoders.

As the length of a Huffman-coded sample is not known until it is decoded and the Huffman-coded samples are interleaved together on a sample-by-sample basis, the Huffman decoder must combine the operations of de-interleaving and decoding.

Timing information is provided in the headers of the Access Units, to enable timing control

of the data capture operation from the disc. In particular, a Decoder Time Stamp (DTS) is associated with each Access Unit, which indicates the timing that should be adopted for submission of that access unit to the decoder. A Presentation Time Stamp (PTS) is also employed to indicate the desired timing of the delivery of Presentation Units at the output of the decoder. The difference between these time points represent the delay allocated to the decoding operation.

The Access Units encoded by MLP each include, in a header, data indicating the length of that particular Access Unit. According to this invention, some Access Units, for example 1 in every 8, include longer headers which also include control data indicating the peak data rate within the track. This peak data rate is known from the outset, because the encoder may be controlled to produce an encoded data stream having a maximum peak data rate.

This peak data rate may be 9.6 Mbits/sec in some cases. However, the encoding operation may be controlled to ensure that a peak data rate for the audio stream is at a different level to the 9.6Mbits/sec absolute maximum. This may be desired when video and audio data are to be stored on the disc, with the result that the audio data can not be read from the disc at the peak 9.6 Mbits/sec rate. In this case, the audio may be specified to have a peak rate of 6.144 Mbits/sec, for example. For the encoding system to be able to provide the encoded stream with the desired peak data rate, it requires a certain amount of look-ahead capability during the encoding process; this may amount to approximately 1 second.

As shown in Figure 5, the MLP encoder comprises an encoder core 12 and a FIFO buffer 14. The encoded audio is packaged ready for writing to sectors of the disc, and combined with sectors containing encoded non-audio data at a multiplexer 16 for authoring onto the DVD 20. The encoding of the non-audio data is not considered in this text.

The DVD reader includes a demultiplexer 22 which receives the data from sectors of the disc 20, and provides one output for audio data, and another for non-audio data. The Access Units have variable length although they represent a constant amount of audio data (80 samples in the case of 96KHz sampling). Thus, in terms of data packets, the data read from an MLP encoded disc comprises a variable rate packetised stream.

The audio data is supplied to a feed buffer 24 whose function is twofold. Firstly it covers the interruptions in the supply of data from the demultiplexer, and secondly it stores the data until the correct time (DTS) for each access unit to be supplied to the decoder. The decoder comprises the FIFO buffer 30 and a decoder core 32. The FIFO buffers 14,30 in the encoder and decoder enable a reduction in the peak data rate stored on the disc.

The output of the feed buffer 24 is a serialised data stream. In general its rate will be 9.6Mbits/sec or higher. If it is higher then each access unit will be serialised in a time less than the time between its DTS and the DTS of the following access unit, therefore there will be timing gaps between the serialised access units. The peak data rate of the stream is the minimum rate at which the access units could be serialised without one or more of the timing gaps becoming negative.

The output of the feed buffer is supplied to the decoder 28, and the data stream is timed according to the Decoder Time Stamps. Similarly, the output of the MLP decoder, which is the reconstructed Presentation Units, is timed according to the Presentation Time Stamps. The variable rate packetised audio stream read from an MLP encoded DVD may not be appropriate for transfer over certain transmission systems. For example some interfaces such as IEC61958 are intrinsically fixed rate. It is then necessary to pad to a fixed rate stream, if the fixed rate of the interface is hardwired or has an upper limit, the peak rate information from the access unit headers may be used to determine in advance whether the transmission of the track will be possible.

ATM is packet based, but there are protocols that support transmission of "CBR" (Constant Bit Rate) streams over ATM. Firewire (IEEE 1394) supports both fixed-rate and variable-rate "isochronous" transmission (as well as "asynchronous" transmission). When transmitting at a fixed rate over these systems it is advantageous to use as low a rate as possible (as determined from the peak rate information in the access unit headers) to leave as much bandwidth as possible free for use by other services. In fact variable-rate transmission is preferred over Firewire: here it is necessary to negotiate for peak bandwidth at the start of the transmission, and again to minimise the impact on other services it is advantageous to determine the lowest adequate rate from the peak rate information in the

access unit headers.

The invention provides a transcoder for converting the variable rate packetised audio stream into a fixed rate packetised stream suitable for interfaces operating at a fixed rate. The fixed rate is determined from the information stored in the Access Unit headers. Fixed rate interfaces may be employed for communication with external equipment, for example a surround decoder, or a digital loudspeaker with MLP input, or with the internal decoder of the DVD player. The decoder architecture can be simplified by providing a fixed rate stream.

The transcoder is combined with a conventional decoder in the system shown in Figure 6, which has two possible outputs, a first conventional decoded output providing a stream of PCM audio, or an alternative output of fixed rate packetised data stream remaining in the MLP encoded domain. This output is provided without an intermediate decode and encode process.

The fixed rate packetised data stream may be provided by padding the ends of the variable length Access Units to result in a constant data rate. The amount of padding required will depend upon the timing interval between the start of the Access Unit and the following Access Unit. This time interval will not be constant, as a result of manipulation which can be performed by the encoder. This is explained below:

There is a maximum data rate of 9.6Mbits/sec at which data can be stored on the DVD. To ensure that there is no passage of data exceeding this rate, it is possible to stretch (in time) the Access Unit boundaries to reduce the data rate. In other words, the timing of the Access Units is altered to reduce the peak data rate, and the decoder time stamps are altered accordingly.

Thus, the encoder can be instructed to perform encoding, by manipulating the Access Unit configurations, such that a selected maximum data rate is not exceeded as explained above. In accordance with the invention, this maximum data rate information is stored in the Access Unit headers.

Additional control data may be introduced into the headers to indicate the level of padding performed to a receiver within the fixed rate interface system. This receiver could be a further transcoder, or could be an MLP decoder, possibly simplified in that it accepts a fixed-rate input only.

5

As explained above, such a decoder could be incorporated into an apparatus providing additional functionality, such as a surround decoder. The transcoder within the DVD player is a 'lightweight' process which can preferably be incorporated into the custom silicon used to retrieve the data bits from the disc. The transcoder can also be tightly integrated with the buffering incorporated in the player, in order that the variable rate data can be optimally handled with minimal use of memory.

10

15

The use of fixed packet rate interface protocols is simplified using the system of the invention. As mentioned above, examples of possible use of the fixed rate packetised data stream is for transmission over serial interfaces such as IEC61958, MADI, and NVISION. In the IEEE 1394 Firewire protocol and in the ISO\_Ethernet protocol, bandwidth can be negotiated and reserved prior to transmission. Consequently, there is also a desire to reduce the bandwidth of a signal for transmission over such an interface. This can be achieved by reducing the peak data rate to a minimum level.

20

25

If data is stored on the disc as a fixed rate stream, it may be possible to reserialise the data to obtain such a reduction in the data rate. This reserialisation involves writing the access unit data at a lower data rate, which lengthens the Access Units, and this may be carried out to a limit just before the access units would overlap. In other words, reserialisation at a lower rate closes the gaps between access units. Therefore, the access unit headers in accordance with another aspect of the invention include an indication of the minimum data rate to which the data could be reserialised. This may again be in the form of control data accompanying the encoded data. This would allow the lowest possible bandwidth to be reserved for each audio track, thus freeing as much bandwidth as possible for other traffic on the interface.

30

Data padding, for conversion from variable rate to fixed rate, and re-serialisation, for

conversion from one fixed rate to a lower fixed rate, are each a relatively trivial process. The transcoder for these operations may therefore be used if the track was encoded at a higher fixed rate, or at a variable rate. This fixed rate output, referenced "MLP Fixed Option" in Figure 6, of course comprises a constant bandwidth signal. Thus, fixed  
5 bandwidth may be allocated to the audio data on a track by track basis for transmission over the Firewire interface. Minimising data rate over Firewire has the advantage of leaving as much bandwidth as possible available for other isochronous transmissions that also need to reserve bandwidth.

10 As already mentioned, greater reductions in data rate can be achieved by repacketising. This involves re-doing the packetising process performed by the encoder, which we now briefly described.

The buffering operation provided by the FIFO buffers in the encoder and decoder may be  
15 controlled in different ways, depending upon the desired system characteristics. As explained with reference to Figure 5, for a real-time transmission system, the amount of data stored in the two buffers in combination contributes towards the total delay of the encoding and decoding operation. The total delay should be constant and as small as possible.

20 It is important to ensure that the decoder always has data available for decoding to avoid any interruption in the data transfer. One strategy, suitable for real-time transmission of the data, for example over a radio link, is to provide a fixed total FIFO delay and to send as much data as possible from the encoder to the decoder at each instant. This maximises the amount of data in the decoder buffer during the transmission.

25 If the encoded data is for storage on a DVD by a disc authoring system, the real time constraints are no longer present, and it is possible to analyse the data for a full track before the authoring operation. This makes it possible to control the data levels in the buffers in a different way, to take account of the data to be encoded at future times during the track.

30 The buffer may be utilised during encoding so that there is minimum delay during decoding, by arranging the decoder buffer to be empty as much as possible. The decoder buffer is



filled with data when a high data rate audio passage (e.g. of high treble energy) is approaching. The size of the decoder buffer must be taken into account in the encoding operation.

5 The amount by which the decoder's buffer needs to be filled in advance of a high rate passage depends on the allowed peak data rate. When authoring to a variable rate stream on the disc, and in the absence of other considerations, this peak data rate can be made the maximum of 9.6Mbits/s, in order to minimise the decoding delay. However, if other services such as moving pictures are to be stored alongside, then a lower peak data rate may  
10 be desirable. If authoring to a fixed-rate stream on the disc, it will generally be desired to use the lowest data-rate possible, in order to maximise the playing time.

A further aspect of the invention provides an alternative encoding method that uses an indication of the minimum data rate to which the sample can be re-packetised, which  
15 information is provided by the mastering system along with the stream. Re-packetising involves adjusting the starting times (the DTS's) to increase the gaps between some of the packets, to achieve still lower data rates, subject to the constraint of an assumed buffer size in the decoder.

20 For a given FIFO buffer size in the decoder, it is possible, after receiving the full data stream, to determine the minimum data rate at which the data stream can be packetised. Essentially, this involves manipulating the timing boundaries between Access Units for an assumed data rate. The length of the Access Units will be governed by the serialisation of the Access Units at the assumed data rate. The constraint as to the extent by which the  
25 timing points between Access Units can manipulated is the decoder buffer size, because it must never be allowed to overflow. This is a somewhat heavier process than re-serialisation or padding.

30 The assumed data rate is reduced iteratively until a minimum is found at which the data stream can be transmitted. Thus, mathematical modelling is performed iteratively. This consumes negligible computer time if it is performed by the bisection method, or one of the other efficient methods of univariate inverse interpolation. The data required to perform this

modelling comprises a note of the length (in bits) of each access unit. It requires much less storage space than the encoded signal itself, and it is easily output by the encoder along with the encoded stream.

5 The data to be authored onto the disc or provided to an interface is eventually subjected to a transcoding operation to produce the minimum rate packetised stream, taking into account the decoder FIFO. This may be a fixed rate packetised stream or a variable rate stream with a capped maximum data rate.

10 As shown in Figure 7, the writing of data to a DVD involves a Mastering Stage 40 and an authoring stage 42. The Mastering Stage 40 can be controlled in conventional manner to provide a PCM stream, labelled "PCM", which is subsequently encoded using MLP and provided on the DVD using an authoring system. This sequence is shown in Figure 7.

15 According to this aspect of the invention, the Mastering Stage 40 also has capability for MLP encoding. Therefore, writing of data on the DVD disc (or other storage medium) will rely on one or other of the two stages for the MLP encoding. The Mastering Stage thus provides a fixed rate MLP encoded packetised stream, labelled "MLP Fixed" in Figure 7, which can then be authored onto a DVD or CD Rom, or other storage medium. The transfer of the  
20 "MLP Fixed" data stream by an authoring system onto disc is not shown in Figure 7. This MLP fixed stream includes an indication of the minimum data rate to which the stream could be repacketised, as determined, during (or after) the MLP encoding.

25 The fixed rate of the "MLP Fixed" output does not at this stage need to correspond to this minimum fixed data rate at which the DVD can be authored, since the subsequent Authoring Stage (not shown) can perform further transcoding to the desired minimum rate. There can be good reasons for mastering to a higher rate: one is to avoid the possibility of an unexpected loud signal from exceeding the permitted rate; another is that a fixed-rate MLP stream may be recorded on standard studio equipment that is intended for normal PCM  
30 audio, and one may then have to choose between a small number of standard data-rates.

The minimum fixed rate will depend upon the size of the decoder FIFO buffer 30, as

explained above, and the indicated minimum rate assumes a given FIFO buffer size. The encoder may note the rate for each of several different assumptions about the decoding specification (in order to assist possible subsequent transcoding, such as repacketisation in the player to the lowest possible peak rate for transmission over Firewire, as explained above). For example, a decoder at the receiving end of a Firewire bus could have a much bigger FIFO than the 90 Kilobytes specified for a DVD player.

This minimum rate information is stored at the start of the output file, so that the Authoring can determine the desired rate for transmission. This avoids the requirement for the authoring stage to perform a pre-scan in order to determine the minimum rate for subsequent transmission. The minimum rate at which fixed-rate packetisation is possible can also be used as an upper bound of the data rate of a variable rate stream derived from the fixed rate stream. Repacketising to obtain a data stream at the minimum data rate may be performed by a DVD player to provide an output of minimum bandwidth for transmitting on a data bus, for example a Firewire network carrying multiple services around the home.

The Mastering Stage may also note the total amount of data, other than the padding, for the track. This is equal to the total amount of data in a variable-rate stream derived from the fixed-rate stream, and may be used by a mastering system to estimate the available playing time in a disc composed of several tracks.

Fixed rate packetised audio may be desired even on a storage medium such as DVD which can handle variable rate transmission, if the audio data on the storage medium is to accompany variable rate video data, such as for digital cinema data. The fixed rate audio data on the disc then facilitates timing operations for the decoding circuitry. Fixed rate streams are also desirable for storage on other carriers such as CD or magnetic tape.

Studio audio equipment also frequently requires fixed rate packetised data streams, and authoring such data streams directly onto the storage medium simplifies this. The invention may also be applied to the CD format. Modifications and variations will be apparent to those skilled in the art.

## CLAIMS

1. An encoder for producing an encoded variable rate packetised stream, including means for introducing into the stream control data representing the peak data rate of the encoded stream.
2. An encoder for producing an encoded fixed rate packetised stream that corresponds to a variable rate stream, the encoder including means for introducing into the encoded stream control data representing the peak data rate of the variable rate stream.
3. An encoder for producing an encoded packetised stream, including means for introducing into the stream control data representing the minimum data rate to which the stream could be repacketised for successful decoding by a decoder of known characteristics.
4. An encoder as claimed in claim 1, 2 or 3, wherein the encoded stream is losslessly compressed digital audio data.
5. An encoded variable rate packetised stream including control data representing the peak data rate of the stream.
6. An encoded fixed rate packetised stream that corresponds to a variable rate stream and includes control data representing the peak data rate of the variable rate stream.
7. An encoded packetised stream including control data representing the minimum data rate to which the stream could be repacketised for successful decoding by each of one or more decoders of known characteristics.
8. An encoded packetised stream as claimed in claim 5, 6 or 7, wherein the encoded stream is losslessly compressed digital audio data.
9. An electronic device comprising an input for receiving data provided by an encoder as claimed in any one of claims 1 to 4, an output for providing an encoded packetised output signal, and an interface coupled to receive the encoded packetised output signal and having

a required bandwidth determined by the control data provided on the stream by the encoder.

10. An electronic device comprising an input for receiving data provided by an encoder as claimed in any one of claims 1 to 4, an output for supplying an encoded packetised output signal, means for converting the encoded packetised output signal to a second output signal having a maximum data rate calculated in dependence upon the control data provided on the stream by the encoder, and an interface coupled to receive the second output signal and having a bandwidth determined by the control data provided on the stream by the encoder.

11. An electronic device as claimed in claim 10, wherein the second output signal comprises a fixed rate packetised stream.

12. An electronic device as claimed in claim 10 or 11, comprising a DVD player, the interface being for communication of encoded DVD data to external equipment.

13. An electronic device as claimed in claim 11, comprising a DVD player, the interface being for communication of encoded DVD data to an internal decoder.

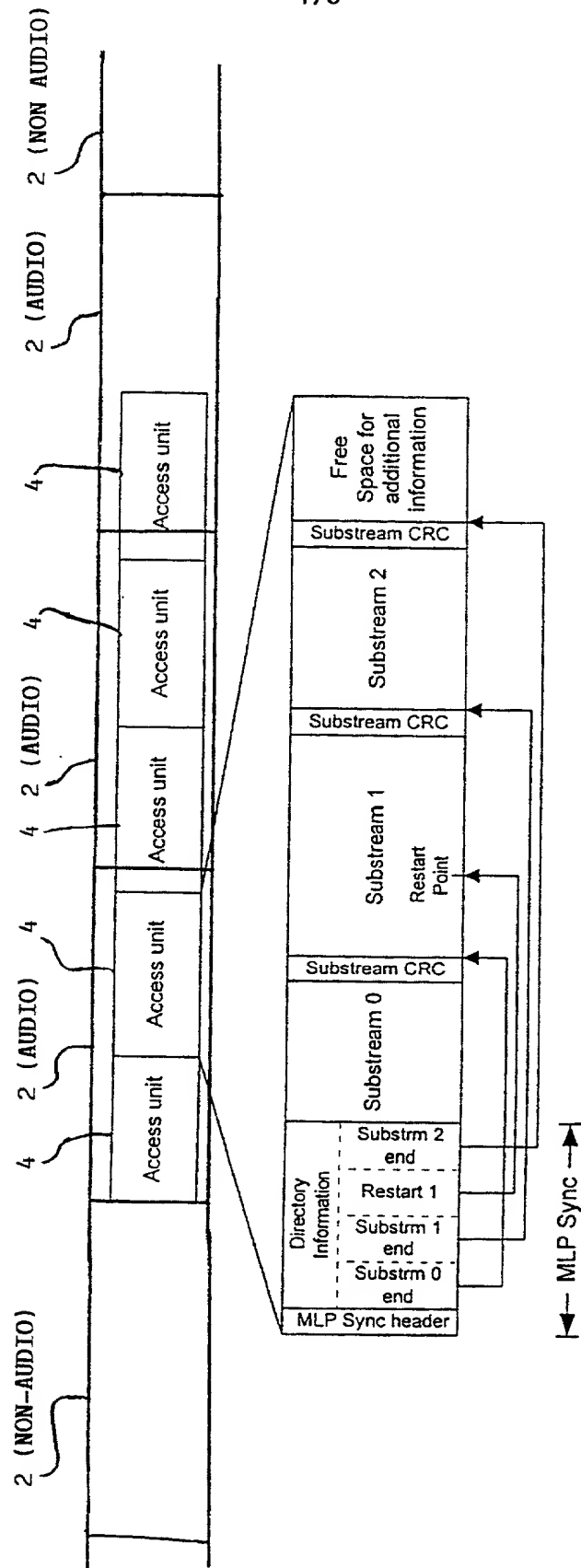
14. A mastering system comprising an encoder for producing an encoded packetised stream, the encoder including means for introducing into the stream control data representing the total amount of data in the corresponding variable rate stream.

15. A system for writing data to a DVD comprising a mastering system as claimed in claim 14, a transcoder for converting the encoded fixed rate stream to a variable rate packetised stream for writing to the DVD, and an authoring system including means for determining the total data duration for writing on the DVD from the control data.

16. A mastering system comprising an encoder for producing an encoded packetised stream, the encoder including means for determining the minimum data rate to which the stream could be repacketised for successful decoding by each of one or more decoders of known characteristics and for introducing into the stream control data representing this minimum data rate.

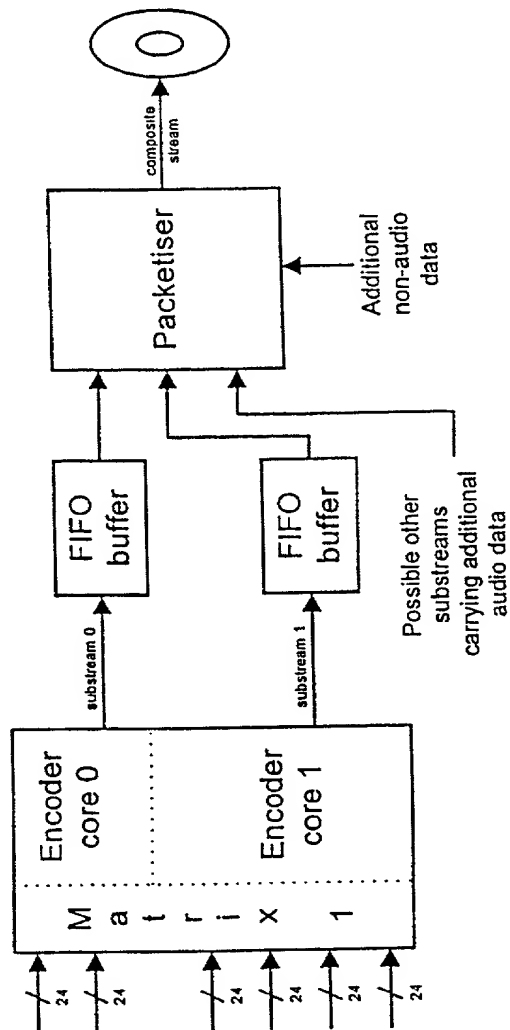
- AMENDED SHEET

**FIG 1**



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FIG 2

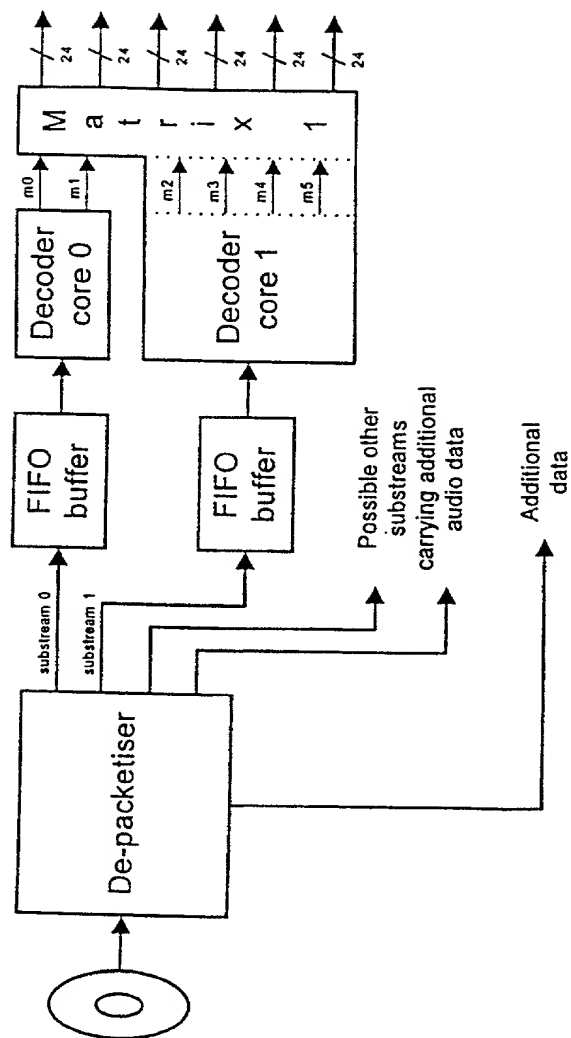


Overview of encoder structure



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FIG 3



Overview of a decoder when decoding substreams 0 and 1

FIG 4

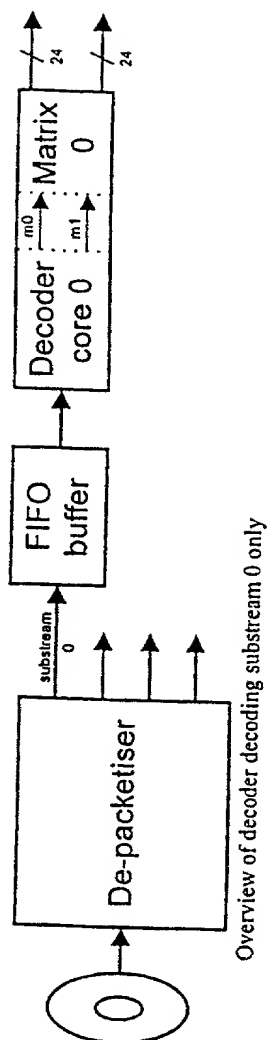
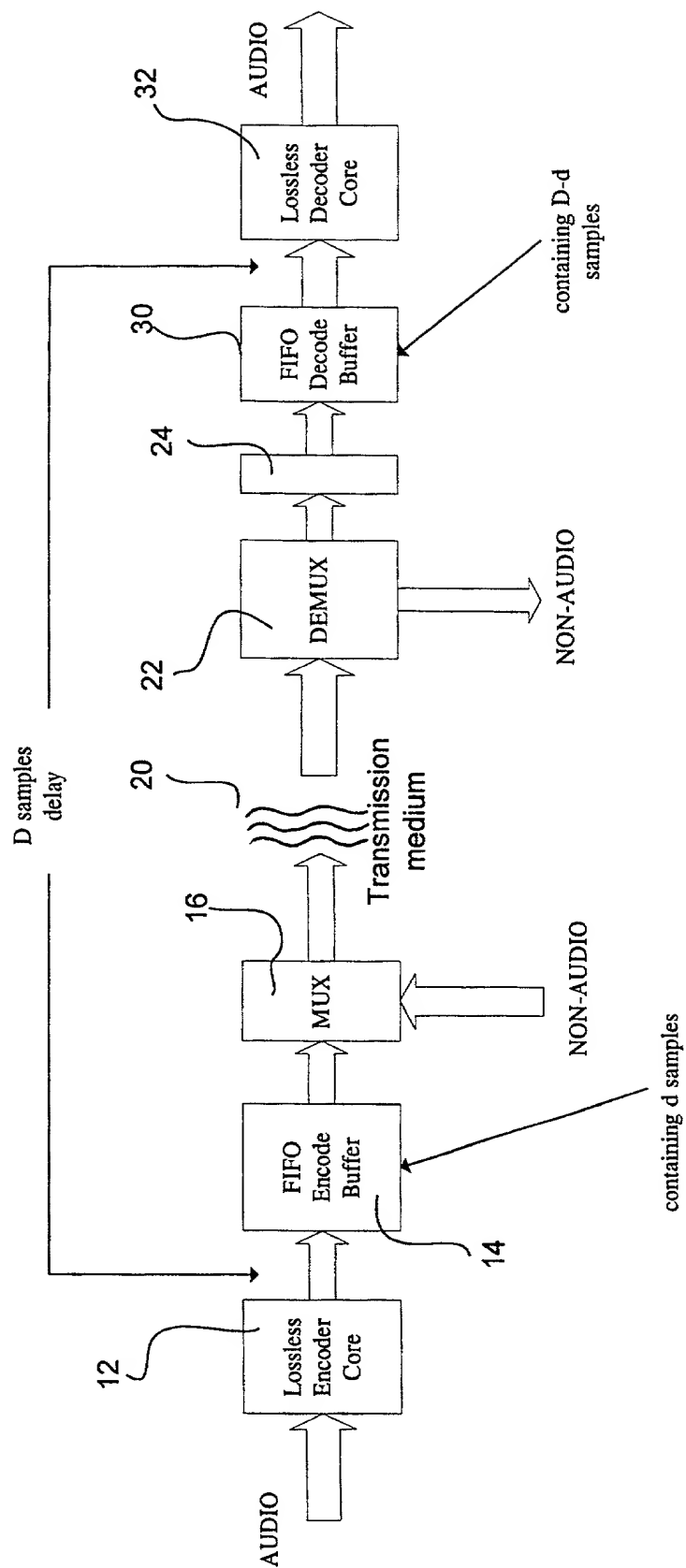


FIG 5



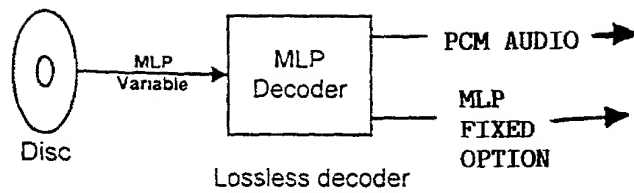


FIG 6

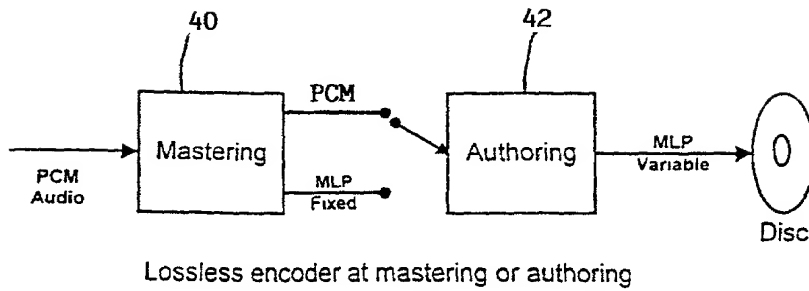


FIG 7

**DECLARATION FOR UNITED STATES PATENT APPLICATION  
AND POWER OF ATTORNEY**

As a below named inventor, I declare:

My post office address, residence address and country of citizenship as stated below next to my name are true and correct;

I believe I am an original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled "Transcoders for Fixed and Variable Rate Data Streams" by Peter Graham Craven, Malcolm James Law and John Robert Stuart, described in international patent application number PCT/GB99/02138 filed July 5, 1999;

I have reviewed and understand the contents of the above identified application, including the description, claims and drawings, including any amendments specifically referred to herein; and

I acknowledge the duty to disclose information, including information which became available between the filing date of any prior-filed patent applications upon which priority is claimed and the filing date of this application, known to be material to patentability as defined in Title 37, Code of Federal Regulations § 1.56.

I claim benefit of priority under 35 U.S.C. § 119(a)-(d) or § 365(b) for:  
application no. 9814513.9 filed July 3, 1998 in Great Britain; and  
application no. 9907918.8 filed April 7, 1999 in Great Britain.

I declare that no foreign application for patent or inventor's certificate and no international patent application has been filed on the same subject matter prior to the earliest-filed application upon which priority is claimed.

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

The following are appointed as principal attorneys and agents with full power of substitution and revocation, to appoint other principal and associate attorneys, to prosecute this application, to transact all business in the United States Patent and Trademark Office connected therewith and to receive the original Letters Patent:

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